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November 1987

FEDERAL WORKFORCE

Data on Training Received by Agency Executives, Managers, and Supervisors

GAO/GGD-88-18FS

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United States
General Accounting Office
Washington, D.C. 20548

General Government Division

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November 30, 1987

The Honorable William D. Ford
Chairman, Committee on Post Office
and Civil Service
House of Representatives

The Honorable Patricia Schroeder
Chairwoman, Subcommittee on Civil Service
Committee on Post Office and Civil Service
House of Representatives

As you requested, we summarized the latest available information from the Office of Personnel Management (OPM) on the amount of short-term training received by federal executives, managers, and supervisors for use by the Committee in its deliberations on the proposed Excellence in Government Management Act (H.R. 2882). The bill would require OPM, among other things, to establish regulations that require executives, managers, and supervisors to participate in a minimum number of hours of supervisory or management training each year or over a greater period as OPM may prescribe.

We are not aware of any law or regulation currently in effect which specifies minimum time periods of training for executives, managers, or supervisors. OPM's predecessor--the Civil Service Commission--had required, as a general rule, that each first-level supervisor have at least 80 hours of formal instruction within the first 2 years of appointment. The initial 40 hours of training was to occur before or within 6 months after the appointment. OPM discontinued this requirement in June 1981 in the interest of delegating more authority to the agencies, according to OPM officials. Generally, OPM's approach is to leave the content and timing of training for executives, managers, and supervisors up to each individual agency. OPM has, however, prescribed some specific criteria for the training of Senior Executive Service (SES) candidates and incumbents. For example, SES candidates are required to participate in an OPM-approved interagency training seminar or program.

Annually, OPM requests agencies to provide data on federal employee training activities. According to OPM officials, this data base contains the only available governmentwide information on employee training. Specific data requested by OPM on short-term training for executives, managers, and supervisors consists of three agencywide items: (1) total number trained, (2) total training instances, and (3) total training hours. OPM defines a short-term training instance as that which is at least 8 hours, but less than 121 days.

For fiscal years 1984 through 1986, the latest 3 years for which short-term training data were available, 54 executive agencies or organizations (hereafter referred to as agencies) that employ at least 95 percent of the non-Postal civilian workforce reported at least 2 years of complete executive and manager/supervisor training data to OPM. Overall, the agencies reported that about 48 percent of all executives and about 57 percent of all managers and supervisors received training annually over the 2 or 3 years they reported. The average number of hours trained, overall, was about 52 each year for executives and about 46 for managers and supervisors. The table below summarizes this information by agency size.

	Percent trained	Average hours trained
Executives		
Large	49%	53
Mid-size	43%	48
Small	53%	39
Governmentwide	48%	52
Managers/supervisors		
Large	58%	46
Mid-size	46%	47
Small	46%	43
Governmentwide	57%	46

The first three appendixes of this fact sheet summarize the data OPM collected on executive, managerial, and supervisory short-term training in fiscal years 1984, 1985, and 1986 by agency civilian employment size--large (over 10,000), mid-size (between 1,500 and 10,000), and small

(under 1,500). The data for managers and supervisors is combined because this is the manner in which OPM collects the data from the agencies. The agencies are listed in descending order based on the average annual percentage of executives and managers/supervisors reported as receiving training over the period. The appendixes also show which agencies in each size grouping were above or below the governmentwide averages of the percentage of executives and managers/supervisors trained. The average number of hours of training each employee received are also shown.

We did not verify the information agencies reported to OPM. This data limitation is discussed further in appendix IV, which describes our objective, scope, and methodology. As requested, we did not ask OPM or the agencies to review and comment officially on this fact sheet.

As arranged with your offices, we are sending copies of this fact sheet to the Director of OPM and other interested parties. If we can be of further assistance on this issue, please call me on 275-6204.

Rosslyn S. Kleeman

Rosslyn S. Kleeman
Senior Associate Director

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ABBREVIATIONS

GAO	General Accounting Office
OCHAMPUS	Office of Civilian Health and Medical Programs of the Uniformed Services
OPM	Office of Personnel Management
SES	Senior Executive Service
NASA	National Aeronautics and Space Administration

LARGE AGENCY SHORT-TERM MANAGEMENT TRAINING DATA

Tables I.1 and I.2 summarize management training data reported to OPM for fiscal years 1984 to 1986 by 19 agencies with civilian employment over 10,000 in fiscal year 1986. Agencies must have reported at least 2 years of complete executive and manager/supervisor training data to OPM to be included in the tables.

Table I.1: Executive Short-term Training in Large Agencies

Agencies	Number of reported executives			Number reported trained			Average percentage reported trained[a] (percent)	Average hours trained			
	FY 84	FY 85	FY 86	FY 84	FY 85	FY 86		FY 84	FY 85	FY 86	Weighted average[b]
Housing and Urban Development	112	112	112	105	85	60	74	44	44	49	45
Army	471	479	351	336	357	215	70	112	72	43	80
Veterans Administration	346	308	309	158	216	274	67	41	39	63	50
Environmental Protection Agency	220	238	229	220	97	138	66	29	39	43	35
Commerce	549	430	546	392	272	375	65	46	45	38	43
Agriculture	363	385	391	253	191	178	55	62	69	64	65
NASA	408	407	432	166	189	306	53	47	46	28	38
Treasury	554	507	468	279	259	243	51	62	45	77	61
Health and Human Services	549	573	510	257	347	210	50	22	108	52	66
Governmentwide Average[e]							48				
Transportation	366	433	399	185	219	147	46	36	48	44	43
Air Force	207	212	193	102	95	78	45	74	73	70	72
General Services Administration	142	[c]	112	7	[c]	86	37	81	[d]	38	42
Defense Logistics Agency	24	24	24	6	10	10	36	53	32	27	35
Interior	291	283	257	104	116	97	36	42	46	71	52
Labor	67	22	156	20	16	48	34	34	31	30	31
Justice	507	437	494	211	140	103	32	40	32	38	38
Energy	416	422	390	99	109	158	30	44	44	56	49
National Guard Bureau	206	[c]	532	32	[c]	183	29	38	[d]	33	34
Navy	420	413	400	185	74	89	28	87	37	32	63

[a]Derived by dividing the sum of the number of reported executives trained over the 2- or 3-year period by the sum of the number of reported executives over the same period.
[b]Derived by dividing the sum of the number of training hours reported over the 2- or 3-year period (figures not shown) by the sum of the number of reported executives trained over the same period.
[c]Data not reported.
[d]Could not be determined from available data.
[e]Based on data from 54 agencies of all sizes.

APPENDIX I

Table I.2: Manager/Supervisor Short-term Training in Large Agencies

Agencies	Number of reported managers/supervisors FY 84	FY 85	FY 86	Number reported trained FY 84	FY 85	FY 86	Average percentage reported trained[a] (percent)	Average hours trained FY 84	FY 85	FY 86	Weighted average[b]
Agriculture	20,408	20,628	21,453	19,108	15,845	16,510	82	47	56	45	49
Housing and Urban Development	1,976	1,742	1,645	1,732	1,514	1,154	82	34	40	31	35
Interior	11,056	10,167	11,073	8,957	8,822	8,182	80	49	43	48	47
NASA	2,887	3,133	3,623	2,068	2,154	2,637	71	38	41	54	45
Environmental Protection Agency	1,467	1,605	1,823	1,387	873	1,193	71	32	38	44	38
Army	48,390	46,540	41,909	30,039	33,[illegible]	31,033	69	42	41	50	44
Energy	3,000	2,661	2,699	1,818	1,903	1,976	68	39	41	38	39
Transportation	10,885	10,958	10,439	8,224	6,013	6,444	64	58	46	70	58
Defense Logistics Agency	5,196	5,[illegible]	5,826	3,085	3,477	3,848	63	51	51	52	51
General Services Administration	7,189	[illegible]	5,375	3,743	[c]	4,035	62	86	[d]	38	61
Commerce	4,883	4,57[illegible]	4,647	3,543	2,235	2,854	61	38	62	63	53
Health and Human Services	16,094	16,687	15,905	7,481	11,125	10,801	60	89	64	36	60
Governmentwide Average[e]							57				
Veterans Administration	20,515	24,973	24,000	6,901	10,680	21,000	56	19	16	19	18
Justice	10,590	6,705	8,816	5,936	3,544	4,065	52	33	120	63	65
Air Force	35,547	31,595	32,325	18,098	14,268	15,865	48	60	58	51	57
Labor	3,235	3,928	3,317	1,549	1,631	1,566	45	92	96	53	81
Treasury	14,810	13,025	16,217	7,777	8,232	4,194	45	31	25	53	33
Navy	34,702	43,379	45,747	7,808	18,688	18,850	37	100	37	24	42
National Guard Bureau	5,435	[c]	9,894	2,032	[c]	3,032	33	24	[d]	45	37

[a]Derived by dividing the sum of the number of reported managers/supervisors trained over the 2- or 3-year period by the sum of the number of reported managers/supervisors over the same period.
[b]Derived by dividing the sum of the number of training hours reported over the 2- or 3-year period (figures not shown) by the sum of the number of reported managers/supervisors trained over the same period.
[c]Data not reported.
[d]Could not be determined from available data.
[e]Based on data from 54 agencies of all sizes.

APPENDIX I

MID-SIZE AGENCY SHORT-TERM TRAINING DATA

Tables II.1 and II.2 summarize management training data reported to OPM for fiscal years 1984 to 1986 by 16 agencies with civilian employment between 1,500 and 10,000 in fiscal year 1986. Agencies must have reported at least 2 years of complete executive and manager/supervisor training data to OPM to be included in the tables.

Table II.1: Executive Short-term Training in Mid-Size Agencies

Agencies	Number of reported executives FY 84	FY 85	FY 86	Number reported trained FY 84	FY 85	FY 86	Average percentage reported trained[a] (percent)	Average hours trained FY 84	FY 85	FY 86	Weighted average[b]
Defense Investigative Service	3	3	3	3	3	3	100	[f]	248	112	120
Small Business Administration	[c]	37	49	[c]	19	49	79	[d]	71	11	28
Railroad Retirement Board	9	9	14	7	7	11	78	21	38	58	42
Defense Mapping Agency	6	20	21	4	17	15	77	81	120	87	102
Federal Energy Regulatory Commission	44	40	69	20	35	55	72	35	19	26	25
Defense Contract Audit Agency	[c]	13	13	[c]	7	10	65	[d]	53	58	56
National Labor Relations Board	62	59	68	23	54	24	53	47	43	47	45
Department of Education	102	83	62	29	77	17	50	20	36	34	32
Governmentwide Average[e]							48				
Nuclear Regulatory Commission	208	207	198	79	113	98	47	53	44	88	61
Defense Communications Agency	43	30	38	17	19	12	43	46	36	44	41
Securities and Exchange Commission	46	44	46	30	8	17	40	[d]	43	28	15
Office of Personnel Management	55	46	47	18	23	14	37	27	54	18	36
U.S. Information Agency	[c]	212	227	[c]	60	103	37	[d]	89	50	64
Agency for International Development	90	96	60	19	11	13	17	20	39	121	56
Smithsonian Institution	59	64	60	9	15	7	17	34	43	64	45
Federal Communications Commission	[c]	57	57	[c]	12	4	14	[d]	48	97	61

[a]Derived by dividing the sum of the number of reported executives trained over the 2- or 3-year period by the sum of the number of reported executives over the same period.
[b]Derived by dividing the sum of the number of training hours reported over the 2- or 3-year (figures not shown) by the sum of the number of reported executives trained over the same period.
[c]Data not reported.
[d]Could not be determined from available data.
[e]Based on data from 54 agencies of all sizes.
[f]Data withdrawn by agency.

APPENDIX II

Table II.2: Manager/Supervisor Short-term Training in Mid-Size Agencies

Agencies	Number of reported managers/supervisors FY 84	FY 85	FY 86	Number reported trained FY 84	FY 85	FY 86	Average percentage reported trained[a] (percent)	Average hours trained FY 84	FY 85	FY 86	Weighted average[b]
Defense Contract Audit Agency	[c]	860	891	[c]	734	674	80	[d]	60	53	57
Defense Mapping Agency	1,127	1,347	1,162	804	936	918	73	46	62	68	60
Federal Energy Regulatory Commission	266	217	263	42	212	244	67	27	28	39	33
Nuclear Regulatory Commission	452	497	511	209	349	367	63	88	17	64	52
Defense Communications Agency	460	796	1,059	338	451	529	57	32	44	37	38
Governmentwide Average[e]							57				
Railroad Retirement Board	295	250	273	164	131	124	51	48	38	39	42
Small Business Administration	[c]	659	1,575	[c]	333	649	44	[d]	36	19	25
Defense Investigative Service	401	641	498	295	258	104	43	80	61	60	69
Securities and Exchange Commission	416	425	467	220	163	172	42	[d]	12	30	13
Office of Personnel Management	731	835	764	327	440	214	42	55	41	39	45
National Labor Relations Board	572	497	599	169	282	148	36	38	40	36	38
Smithsonian Institution	755	810	852	201	239	386	34	35	37	28	32
Department of Education	903	907	565	206	377	201	33	24	39	39	35
Federal Communications Commission	[c]	243	303	[c]	117	52	31	[d]	33	37	34
U.S. Information Agency	[c]	1,288	2,836	[c]	456	798	30	[d]	91	54	67
Agency for International Development	887	821	591	109	119	20[illegible]	19	25	28	65	44

[a]Derived by dividing the sum of the number of reported managers/supervisors trained over the 2- or 3-year period by the sum of the number of reported managers/supervisors over the same period.
[b]Derived by dividing the sum of the number of training hours reported over the 2- or 3-year period (figures not shown) by the sum of number of reported managers/supervisors trained over the same period.
[c]Data not reported.
[d]Could not be determined from available data.
[e]Based on data from 54 agencies of all sizes.

APPENDIX II

SMALL AGENCY SHORT-TERM MANAGEMENT TRAINING DATA

Tables III.1 and III.2 summarize management training data reported to OPM for fiscal years 1984 to 1986 by 19 agencies with civilian employment under 1,500 in fiscal year 1986. Agencies must have reported at least 2 years of complete executive and manager/supervisor training data to OPM to be included in the tables.

Table III.1: Executive Short-term Training in Small Agencies

Agency	Number of reported executives FY 84	FY 85	FY 86	Number reported trained FY 84	FY 85	FY 86	Average percentage reported trained[a] (percent)	Average hours trained FY 84	FY 85	FY 86	Weighted average[b]
International Trade Commission	7	7	7	5	7	7	90	123	32	21	52
Federal Labor Relations Authority	36	32	19	33	28	10	82	33	17	19	25
Pension Benefit Guaranty Corporation	13	12	11	10	9	8	75	31	35	37	34
Merit Systems Protection Board	19	17	17	14	10	15	74	70	52	125	86
Federal Mediation and Conciliation Service	7	7	6	6	4	4	70	32	32	37	34
Commodity Futures Trading Commission	30	24	31	25	11	14	59	28	43	39	34
National Science Foundation	[c]	108	95	[c]	59	57	57	[d]	33	57	45
Farm Credit Administration	[c]	16	16	[c]	9	9	56	[d]	30	31	31
Action	11	10	11	6	4	7	53	71	36	29	46
Federal Home Loan Bank Board	16	13	14	7	11	4	51	20	27	18	23
Export-Import Bank	4	4	[c]	2	2	[c]	50	16	18	[d]	17
Governmentwide Average[e]							48				
Consumer Product Safety Commission	[c]	11	29	[c]	4	15	48	[d]	34	31	31
Federal Trade Commission	29	22	23	8	14	7	39	20	26	11	21
University of the Health Sciences (DOD)	11	11	18	3	3	5	28	41	35	24	32
Interstate Commerce Commission	36	32	26	15	5	5	27	47	22	34	39
National Credit Union Administration	15	[c]	15	2	[c]	3	17	48	[d]	19	30
National Gallery of Art	1	7	[c]	1	0	[c]	13	7	0	[d]	7
National Endowment for the Arts	[c]	5	6	[c]	0	1	9	[d]	0	8	8
National Endowment for the Humanities	5	2	6	1	0	0	8	12	0	0	12

[a]Derived by dividing the sum of the number of reported executives trained over the 2- or 3-year period by the sum of the number of reported executives over the same period.
[b]Derived by dividing the sum of the number of training hours reported over the 2- or 3-year period (figures not shown) by the sum of the number of reported executives trained over the same period.
[c]Data not reported.
[d]Could not be determined from available data.
[e]Based on data from 54 agencies of all sizes.

APPENDIX III

Table III.2: Manager/Supervisor Short-term Training in Small Agencies

Agencies	Number of reported managers/supervisors FY 84	FY 85	FY 86	Number reported trained FY 84	FY 85	FY 86	Average percentage reported trained[a] (percent)	Average hours trained FY 84	FY 85	FY 86	Weighted average[b]
Farm Credit Administration	[c]	38	45	[c]	26	42	82	[d]	71	45	55
Federal Labor Relations Authority	46	50	42	32	33	37	74	42	75	45	54
International Trade Commission	67	72	68	40	60	51	73	52	37	43	43
Merit Systems Protection Board	60	52	60	48	15	59	71	41	22	48	44
National Gallery of Art	81	80	61	41	58	36	61	30	31	30	30
Governmentwide Average[e]							57				
National Science Foundation	[c]	258	237	[c]	190	102	55	[d]	44	38	42
Pension Benefit Guaranty Corporation	122	119	117	57	64	72	54	90	62	36	60
Export-Import Bank	77	69	[c]	30	46	[c]	52	47	42	[d]	44
University of the Health Sciences (DOD)	47	48	36	19	13	29	47	95	53	46	63
Federal Trade Commission	111	129	124	57	56	52	45	33	34	11	26
Commodity Futures Trading Commission	101	119	110	46	61	36	43	51	37	29	40
Federal Mediation and Conciliation Service	24	25	31	10	11	8	36	26	22	19	22
National Credit Union Administration	91	[c]	94	7	[c]	58	35	45	[d]	55	54
Interstate Commerce Commission	150	137	115	76	19	46	35	44	17	30	36
National Endowment for the Arts	[c]	73	61	[c]	20	25	34	[d]	21	12	16
Action	130	130	108	46	45	27	32	21	28	40	28
Federal Home Loan Bank Board	248	149	152	18	89	71	32	178	43	46	58
National Endowment for the Humanities	58	58	78	20	15	17	27	32	29	34	32
Consumer Product Safety Commission	[c]	115	59	[c]	14	29	25	[d]	72	26	41

[a]Derived by dividing the sum of the number of reported managers/supervisors trained over the 2- or 3-year period by the sum of the number of reported managers/supervisors over the same period.
[b]Derived by dividing the sum of the number of training hours reported over the 2- or 3-year period (figures not shown) by the sum of the number of reported managers/supervisors trained over the same period.
[c]Data not reported.
[d]Could not be determined from available data.
[e]Based on data from 54 agencies of all sizes.

APPENDIX III

OBJECTIVE, SCOPE, AND METHODOLOGY

Our objective was to summarize the latest available individual agency training data on executives, managers, and supervisors. To do this, we acquired from OPM statistical summaries of training data agencies reported to OPM for fiscal years 1984, 1985, and 1986--the latest years for which data were available. The data show for executives and for managers/supervisors the total number trained, the total training instances, and the total training hours. The agencies also reported their total number of executives and managers/supervisors.

The data reviewed covered 54 executive agencies for which OPM had on file complete executive and manager/supervisor training data for at least 2 of the 3 fiscal years. These agencies accounted for at least 95 percent of the non-Postal, federal civilian workforce in fiscal year 1986. To facilitate analysis and simplify data presentation, we sorted the agency data into three categories based on civilian employment size: (1) large agencies with civilian employment over 10,000, (2) mid-size agencies with employment between 1,500 and 10,000, and (3) small agencies with employment under 1,500. In each category, we calculated

-- the average annual percentage of executives and managers/supervisors who were reported as having received training over the 2- or 3-year period; and

-- the average number of hours of short-term training received by executives and managers/supervisors who were reported trained in each fiscal year, and their annual average number of hours of such training over the 2- or 3-year period.

Also, we calculated a governmentwide average annual training rate for executives and managers/supervisors who were reported trained over the period based on the data we analyzed for the 54 agencies.

We did not include 14 other agencies in our analysis because OPM did not have for these agencies at least 2 years of complete executive and manager/supervisor training data. Five were

mid-size agencies[1] and nine were small agencies[2]. Table IV.1 summarizes the number of agencies we included in our analyses by agency size.

Table IV.1: Summary of Agencies Subject to GAO Analysis

Agency category	Number of agencies with data on file	Number of agencies subject to GAO analysis	Percent analyzed
Large	19	19	100%
Mid-size	21	16	76%
Small	28	19	68%

We did not verify the accuracy of the training data the agencies submitted to OPM, nor OPM's data summaries. However, we asked agency officials to examine certain data when it appeared incorrect or incomplete, such as when data for a particular fiscal year appeared high relative to another year or was inconsistently reported. We then adjusted our figures for the training data as directed by the agency officials. Such adjustments were made in the data for 11 departments and agencies: the Departments of the Army, Education, Housing and Urban Development, Transportation, and the Treasury, ACTION, the Agency for International Development, the Defense Investigative Service, the Federal Labor Relations Authority, the General Services Administration, and the Veterans Administration. OPM was not aware that some of the data was not properly reported because it does not routinely validate agency submissions.

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[1]The Equal Employment Opportunity Commission, the Federal Deposit Insurance Corporation, the Federal Emergency Management Agency, the National Archives and Records Administration, and the Office of Secretary of Defense.

[2]The Arms Control and Disarmament Agency, the Defense Nuclear Agency, the Executive Office of the President, the Inter-American Foundation, OCHAMPUS, the Office of the Inspector General of the Department of Defense, the Overseas Private Investment Corporation, the Peace Corps, and the Selective Service System.

Because of the discretion allowed in compiling the data to be reported, the agencies may not have reported the data on a consistent basis. According to an OPM official in the Office of Training and Development, the agencies have the discretion to define each management level as they see appropriate for this reporting purpose. OPM's instructions defined an "executive" as a Senior Executive Service position or the equivalent. "Manager" and "supervisor" positions were to be considered as defined by the individual agency or OPM's supervisory grade evaluation guide.

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